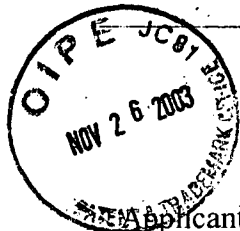


Receipt date: 11/26/2003

Docket No.: GLAUKO.1C3CP1

10706300 - GAU: 3761

Customer No. 20,995



# INFORMATION DISCLOSURE STATEMENT

Applicant : Hosheng Tu, et al.  
App. No. : 10/706,300  
Filed : November 12, 2003  
For : GLAUCOMA IMPLANT WITH  
THERAPEUTIC AGENTS  
Examiner : Unknown  
Group Art Unit : Unknown

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: United States Patent and Trademark Office, PO Box 1450, Alexandria, VA 22313-1450, on

November 24, 2003

(Date)

James W. Hill, M.D., Reg. No. 46,396

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing two hundred nine (209) references, fifty-five (55) of which are enclosed herewith. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003.

This Information Disclosure Statement is being filed within three months of the filing date of this application and no fee is required in accordance with 37 C.F.R. § 1.97(b)(1), (b)(2), or (b)(4).

Identification herein is not an admission that any of the foregoing is prior art to the above-identified application.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: November 24, 2003

By: 

James W. Hill, M.D.

Registration No. 46,396

Attorney of Record

Customer No. 20,995

(949) 760-0404

Receipt date: 11/26/2003

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SHEET 1 OF 9

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
GLAUKO.1c3CP1APPLICATION NO.  
10706,300INFORMATION DISCLOSURE STATEMENT  
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(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Hosheng Tu, et al.FILING DATE  
November 12, 2003GROUP ART UNIT  
Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	RE 35,390	12-03-1996	Stewart G. Smith			
	2	3,788,327	01-29-1974	Howard Donowitz, et al.			
	3	4,037,604	07-26-1977	John B. Newkirk			
	4	4,168,697	09-25-1979	Erdem I. Cantekin			
	5	4,175,563	11-27-1979	Irving K. Arenberg, et al.			
	6	4,402,681	09-06-1983	Joseph S. Haas, et al.			
	7	4,428,746	01-31-1984	Antonio Mendez			
	8	4,501,274	02-26-1985	Finn Skjaerpe, et al.			
	9	4,521,210	06-04-1985	Vernon G. Wong			
	10	4,554,918	11-26-1985	Thomas C. White			
	11	4,583,224	08-01-1989	Wong			
	12	4,604,087	08-05-1986	Neil H. Joseph			
	13	4,632,842	12-30-1986	Theodore Karwoski, et al.			
	14	4,634,418	01-06-1987	Perry S. Binder			
	15	4,718,907	01-12-1988	Theodore Karwoski, et al.			
	16	4,722,724	02-02-1988	Stanley Schocket			
	17	4,733,665	03-29-1988	Julio C. Palmaz			
	18	4,750,901	06-14-1988	Anthony C. B. Molteno			
	19	4,787,885	11-29-1988	Perry S. Binder			
	20	4,804,382	02-14-1989	Marko Turina, et al.			
	21	4,820,626	04-11-1989	Stuart K. Williams, et al.			
	22	4,846,172	07-11-1989	Michael S. Berlin			
	23	4,863,457	09-05-1989	David A. Lee			
	24	4,883,864	11-28-1989	Scholz			
	25	4,886,488	12-12-1989	Thomas C. White			
	26	4,900,300	02-13-1990	David A. Lee			
	27	4,936,825	06-26-1990	Bruce A. Ungerleider			

EXAMINER

/Leslie Deak/

DATE CONSIDERED

12/07/2009

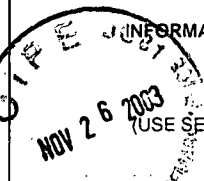
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SHEET 2 OF 9

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GLAUKO.1c3CP1	APPLICATION NO. 10/706,300
		APPLICANT Hosheng Tu, et al.	
		FILING DATE November 12, 2003	GROUP ART UNIT Unknown

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	28	4,946,436	08-07-1990	Stewart G. Smith			
	29	4,968,296	11-06-1990	Robert Ritch, et al.			
	30	4,997,652	03-05-1991	Wong			
	31	5,041,081	08-20-1991	Ronald B. Odrich			
	32	5,073,163	12-17-1991	Myron E. Lippman			
	33	5,092,837	03-03-1992	Robert Ritch, et al.			
	34	5,095,887	03-17-1992	Leon, et al.			
	35	5,127,901	07-07-1992	Odrich			
	36	5,129,895	07-14-1992	Vassiliadis, et al.			
	37	5,164,188	11-17-1992	Wong			
	38	5,171,213	23-15-1992	Francis W. Price, Jr.			
	39	5,178,604	01-12-1993	Baerveldt, et al.			
	40	5,180,362	01-19-1993	J. G. F. Worst			
	41	5,246,451	09-21-1993	Trescony, et al.			
	42	5,290,295	03-01-1994	Querals, et al.			
	43	5,300,020	04-05-1994	L'Esperance, Jr.			
	44	5,318,513	06-07-1994	Leib, et al.			
	45	5,334,137	08-02-1994	Jerre M. Freeman			
	46	5,338,291	08-16-1994	Speckman, et al.			
	47	5,346,464	09-13-1994	Carl B. Camras			
	48	5,360,399	11-01-1994	Robert Stegmann			
	49	5,370,607	12-06-1994	James Memmen			
	50	5,370,641	12-06-1994	Francis E. O'Donnell, Jr.			
	51	5,372,577	12-13-1994	Bruce Ungerleider			
	52	5,397,300	03-14-1995	Baerveldt, et al.			
	53	5,433,701	07-18-1995	Mark Rubinstein			

EXAMINER	/Leslie Deak/	DATE CONSIDERED	12/07/2009
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>			

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
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APPLICANT  
Hosheng Tu, et al.FILING DATE  
November 12, 2003GROUP ART UNIT  
Unknown

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	54	5,443,505	08-22-1995	Wong, et al.			
	55	5,454,796	10-03-1995	Theodore Krupin			
	56	5,476,445	12-19-1995	Baerveldt, et al.			
	57	5,472,440	12-05-1995	Hugh Beckman			
	58	5,486,165	01-23-1996	Robert Stegmann			
	59	5,516,522	05-14-1996	Peyman, et al.			
	60	5,520,631	05-28-1996	Nordquist, et al.			
	61	5,557,453	09-17-1996	Schalz, et al.			
	62	5,558,629	09-24-1996	Baerveldt, et al.			
	63	5,558,630	09-24-1996	Bret Fisher			
	64	5,562,641	10-08-1996	Flomenblit, et al.			
	65	5,601,094	02-11-1997	George Reiss			
	66	5,601,549	02-11-1997	Kunihiko Miyagi			
	67	5,626,558	05-06-1997	John Suson			
	68	5,626,559	05-06-1997	Arie Solomon			
	69	5,639,278	06-17-1997	Dereume, et al.			
	70	5,651,783	07-29-1997	Michael Reynard			
	71	5,665,114	09-09-1997	Weadock, et al.			
	72	5,670,161	09-23-1997	Healy, et al.			
	73	5,676,679	10-14-1997	Simon, et al.			
	74	5,681,275	10-28-1997	Abdul Mateen Ahmed			
	75	5,702,414	12-30-1997	Richter, et al.			
	76	5,702,419	12-30-1997	Berry, et al.			
	77	5,704,907	01-06-1998	Nordquist, et al.			
	78	5,713,844	02-03-1998	Gholam Peyman			
	79	5,723,005	03-03-1998	Robert S. Herrick			

EXAMINER /Leslie Deak/

DATE CONSIDERED 12/07/2009

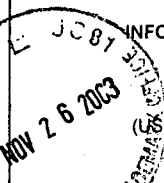
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SHEET 4 OF 9

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GLAUKO.1c3CP1	APPLICATION NO. 10706,300
 INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Hosheng Tu, et al.	
		FILING DATE November 12, 2003	GROUP ART UNIT Unknown

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	80	5,741,333	04-21-1998	Noureddine Frid			
	81	5,743,868	04-28-1998	Reay H. Brown, et al.			
	82	5,752,928	05-19-1998	de Roulhac, et al.			
	83	5,766,242	06-16-1998	Wong, et al.			
	84	5,766,243	06-16-1998	Christensen, et al.			
	85	5,785,674	07-28-1998	Almed Abdul Mateen			
	86	5,807,302	09-15-1998	Thaddeus Wandel			
	87	5,810,870	09-22-1998	Myers, et al.			
	88	5,824,072	10-20-1998	Wong			
	89	5,830,139	11-03-1998	Marcio M. Abreu			
	90	5,830,171	11-03-1998	Raymond G. Wallace			
	91	5,836,939	11-17-1998	Negus, et al.			
	92	5,865,831	02-02-1999	Cozean, et al.			
	93	5,868,697	02-09-1999	Richter, et al.			
	94	5,879,319	03-09-1999	Pynson, et al.			
	95	5,882,327	03-16-1999	Jean T. Jacob			
	96	5,886,822	03-23-1999	Mark B. Spitzer			
	97	5,893,837	04-13-1999	Eagles, et al.			
	98	5,908,449	06-01-1999	Bruchman, et al.			
	99	5,932,299	08-03-1999	Mohammad W. Katoot			
	100	5,968,058	10-19-1999	Richter, et al.			
	101	5,981,598	11-09-1999	William G. Tatton			
	102	6,004,302	12-21-1999	Lawrence A. Brierley			
	103	6,007,510	12-28-1999	Alok Nigam			
	104	6,007,511	12-28-1999	Arnold S. Prywes			
	105	6,033,434	03-07-2000	Enzo Borghi			

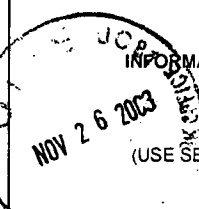
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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GLAUKO.1c3CP1	APPLICATION NO. 10/706,300
 <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Hosheng Tu, et al.	
		FILING DATE November 12, 2003	GROUP ART UNIT Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	106	6,045,557	04-04-2000	White, et al.			
	107	6,050,970	04-18-2000	George Baerveldt			
	108	6,059,772	05-09-2000	Hsia, et al.			
	109	6,059,812	05-09-2000	Clerc, et al.			
	110	6,063,116	05-16-2000	Peter J. Kelleher			
	111	6,063,396	05-16-2000	Peter J. kelleher			
	112	6,071,286	06-06-2000	Michel Mawad			
	113	6,077,299	06-20-2000	Adelberg, et al.			
	114	6,102,045	08-15-2000	Nordquist, et al.			
	115	6,142,990	11-07-2000	Reinhard O. W. Burk			
	116	6,165,210	12-26-2000	Lau, et al.			
	117	6,168,575	01-02-2001	David Pyam Soltanpour			
	118	6,174,305	01-16-2001	Mikus, et al.			
	119	6,187,016	02-13-2001	Hedges, et al.			
	120	6,193,656	02-2-7-2001	Jeffries, et al.			
	121	6,197,056	03-06-2001	Ronald A. Schachar			
	122	6,203,513	03-20-2001	Yaron, et al.			
	123	6,217,895	04-17-2001	Guo, et al.			
	124	6,228,873	05-08-2001	Brandt, et al.			
	125	6,231,597	05-15-2001	Deem, et al.			
	126	6,241,721	06-05-2001	Cozean, et al.			
	127	6,251,090	06-26-2001	Avery, et al.			
	128	6,254,612	07-03-2001	Grant Hieshima			
	129	6,266,182	07-24-2001	Kazuo Morita			
	130	6,268,398	07-31-2001	Ghosh, et al.			
	131	6,299,895	10-09-2001	Hammang, et al.			

EXAMINER	/Leslie Deak/	DATE CONSIDERED	12/07/2009
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Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	132	6,331,313	12-18-2001	Wong et al.			
	133	6,342,058	01-29-2002	Valdemar Portney			
	134	6,375,642	04-23-2002	Grieshaber, et al.			
	135	6,413,540	07-02-2002	Yaacobi			
	136	6,416,777	07-09-2002	Yaacobi			
	137	6,428,501	08-06-2002	Michael Reynard			
	138	6,436,127	08-20-2002	Hammang, et al.			
	139	6,450,984	09-17-2002	Lynch, et al.			
	140	6,464,724	10-15-2002	Lynch, et a.			
	141	6,533,768	03-18-2003	Richard A. Hill			
	142	6,544,249	04-08-2003	Dao-Yi-Yu, et al.			
	143	6,548,078	04-15-2003	Guo, et al.			
	144	6,585,680	07-01-2003	Mogens Bugge			
	145	6,629,981	10-07-2003	Bui, et al.			
	146	6,638,239	10-28-2003	Olav Bergheim, et al.			
	147	US2002/0013546 A1	01-31-2002	Grieshaber, et al.			
	148	US2002/0026200 A1	02-28-2002	James A. Savage			
	149	US2002/0072673 A1	06-13-2002	Yamamoto, et al.			
	150	US2002/0099434 A1	07-25-2002	Buscemi, et al.			
	151	US2002/0133168 A1	09-19-2002	Gregory T. Smedley, et al.			
	152	US2002/0143284 A1	10-03-2002	Hosheng Tu, et al.			
	153	US2002/0188308 A1	12-12-2002	Hosheng Tu, et al.			
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EXAMINER /Leslie Deak/

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	155	WO 89/00869	02-09-1989	PCT				
	156	WO 91/18568	12-12-1991	PCT				
	157	WO 92/19294	11-12-1992	PCT				
	158	WO 94/13234	06-23-1994	PCT				
	159	WO 94/21205	09-29-1994	PCT				
	160	WO 95/08310	03-30 1995	PCT				
	161	WO 98/30181	07-16-1998	PCT				
	162	WO 98/35639	08-20-1998	PCT				
	163	WO 99/26567	06-03-1999	PCT				
	164	WO 99/30641	06-24-1999	PCT				
	165	WO 99/38470	08-05-1999	PCT				
	166	WO 00/13627	03-16-2000	PCT				
	167	QO 00/64389	11-02-2000	PCT				
	168	WO 00/64390	11-02-2000	PCT				
	169	WO 00/64391	11-02-2000	PCT				
	170	WO 00/64393	11-02-2000	PCT				
	171	WO 00/72788	12-07-2000	PCT				
	172	WO/01/50943	07-19-2001	PCT				
	173	WO 01/78631	10-25-2001	PCT				
	174	WO 01/78656	10-25-2001	PCT				
	175	WO 01/97727	12-27-2001	PCT				
	176	WO 03/015659	02-27-2003	PCT				
	177	AU 200072059	12-06-2000	Australia				
	178	CA 2,244,646	08-11-1998	Canada				
	179	DE 198 40 047	02-09-1998	Germany				
	180	EP 0 858 788	08-19-1998	Europe				

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							YES	NO
	181	EP 1 114 627	11-07-2001	Europe				
	182	EP 0 898 947	03-03-1999	Europe				
	183	GB 2 296 663	03-01-1995	United Kingdom				
	184	FR 2 710 269	09-22-1993	France				
	185	JP 11-123205	05-1999	Japan				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
	186	Jacobi et al., <i>Goniocurettage for Removing Trabecular Meshwork: Clinical Results of a New Surgical Technique in Advanced Chronic Open-Angle Glaucoma</i> , American Journal of Ophtholmology, May 1999, Vol. 127, No. 5, Pages 505-510.
	187	Jacobi et al., <i>Bimanual Trabecular Aspiration in Pseudoexfoliation Glaucoma: An Alternative in Nonfiltering Glaucoma Surgery</i> , American Journal of Ophthalmology, May 1998, Vol. 105, No. 5, Pages 886-894.
	188	Jacobi et al., <i>Microendoscopic Travecular Surgery in Glaucoma Management</i> , American Journal of Ophtholmology, March 1999, Vol. 106, No. 3, Pages 538-544.
	189	Schwartz et al., <i>Trabecular Surgery</i> , Arch. Ophthalmol, August 1974, Vol. 92, Pages 134-138.
	190	Hill et al., <i>Free-Electron Laser (FEL) Ablation of Ocular Tissues</i> , Lasers Med Sci, 1998, Vol. 13, Pages 219-226.
	191	Luntz et al., <i>Traveculotomy AB Externo and Trabeculectomy in Congenital and Adult-Onset Glaucoma</i> , American Journal of Ophthalmology, February 1977, Vol. 83, No.2, Pages 174-179.
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\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

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SHEET 9 OF 9

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GLAUKO.1c3CP1	APPLICATION NO. 10/706,300
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Hosheng Tu, et al.	
		FILING DATE November 12, 2003	GROUP ART UNIT Unknown

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
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